



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date September 22, 1981	1. Agency Address Comptroller General, Insurance Division 238 State Capitol Atlanta, Georgia 30334	Application Number <b>81-413</b>	
Application Number		Date Received SEP 24 1981	Date Completed NOV 10 1981
2. Person to Contact Mary Jane Johnston		Working Title Administrative Clerk	Telephone Number 656-2074
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1967	Latest to date	5. Records Series Title (followed by title used in office; if different) Preneed Funeral Service Contract Sales Re-authorization Files	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?  The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and mobile home sales regulations.  The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance related laws. The Division also licenses agents and companies and investigates consumer complaints.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: _____ Licensing Preneed Funeral homes to sell Preneed Funeral Service Contracts.  Included are: Check sheet for renewal of Preneed Certificate of Authority; Renewal form letter; Form CGO-201, application for Renewal of Certificate of Authority; Form CGO-202, Preneed Funeral Service Contract Fees collected for the month of _____; Form CGO-203, Itemized list of all outstanding Preneed Funeral Service Contracts; related correspondence.			
File is arranged: Alphabetically by company			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>0</u> ; Seven to twelve months old <u>0</u> ; Thirteen to twenty-four months old <u>0</u> ; twenty-five months and older <u>?</u>			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>1/2</u> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | 1 _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need            | _____ years.   |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Hold in current files area until annual application for renewal of Certificate of Authority is received, then destroy all papers in folder 2 years old or older.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Ralph W. Terry</i>	9-22-81	<i>Fred Anderson</i>	9-23-81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>Carroll Hart</i>	10-19-81
		Secretary of State/Designee	10-19-81
		Attorney General/Designee	11-2-81